

Subject	Criteria	Review Points
Agency Officer	The department must designate an agency officer as responsible and directly accountable for the agency's purchasing program.	Has the department designated an agency officer? Does the designation meet the statutory intent of the law and delegation guideline requirements and has PD been notified?
Delegation Contact	The department's agency officer may designate a delegation contact to generally oversee the day-to-day administration of procurement activities.	Has the department's agency officer designated a delegation contact? If so, does the designation meet delegation guideline requirements and has PD been notified?
DVBE Participation	Requires agencies to achieve a specified goal for purchases with Disabled Veteran Business Enterprises. Department Directors may exempt individual transactions, but the annual goal still applies.	Does the agency have a system in place for tracking DVBE purchases (3% goal)?
File Structure and Access	Purchasing files should be maintained in a uniform manner and contain all relevant transaction documentation. Files should be readily accessible, with a system in place to easily locate active (in use by purchasing staff) and inactive (completed and closed) files.	Does the agency maintain its purchasing files in a uniform manner? Does the agency require that each file contain all relevant transaction documentation? Does the agency have a system for tracking the location of all purchasing files? Are all files readily available for AQAP review?
Policies & Procedures	The agency shall establish and maintain written purchasing policies and procedures, which may take the form of a reference and training desk manual. These policies and procedures must include procedures for ensuring and documenting competitive purchasing, complying with purchasing standards established pursuant to Section 10307, inspecting acquired products for compliance with specifications, reporting contractor failures to deliver products as specified in contracts, ensuring that agency contracting personnel are free from conflict of interest, and complying with other provisions of law as the department may require.	Does the agency have current written purchasing policies and procedures, including ensuring and documenting competitive purchasing, complying with purchasing standards established pursuant to Section 10307, inspecting acquired products for compliance with specifications, reporting contractor failures to deliver products as specified in contracts, ensuring that agency contracting personnel are free from conflict of interest?
Prompt Payment	The department must promptly pay supplier invoices and establish related procedures.	Has the department established procedures for ensuring prompt payment of supplier invoices?
Reporting	The department shall report purchase transaction data as may be required.	Does the department have a system in place for reporting and does it report... delegated purchasing authority transactions? State Agency Buy Recycled Campaign data? small business goals? DVBE goals? late payment data?
Separation of Duties	The Financial Integrity and State Manager's Accountability Act of 1983 requires that the head of each State agency establish and maintain an adequate system of internal control within their agencies, a key element of which is separation of duties.	Did any one person within the agency perform one or more of the following functions associated with this transaction: approve procurement document, verify stock received, approve payment, prepare check?
Small Business Advocate	Each agency with an annual contracting program of \$100,000 or more is required to establish a small business advocate to act as liaison to small businesses.	Does the agency contract for \$100,000 or more annually in goods and/or services? Does the agency have a designated Small Business Advocate? Does the agency have appropriate small business advocate-related processes in place (solicitation availability, prompt payment)?

COMPLIANCE CRITERIA  
General

Subject	Criteria	Review Points
Small Business Participation	The department must establish procedures (including establishing strategies and goals for small business contracting) for complying with the provisions of the Small Business Procurement and Contract Act. The procedures shall include procedures for meeting the goals for the extent of participation of small businesses in state contracting as established by DGS.	Has the department established the required procedures? Does the agency have a system in place for tracking small business purchases (25% goal)? Has the agency developed and implemented strategies for small business participation?
Sole Source Agency Officer Delegation	A department's agency officer may delegate approval authority for specific categories of sole source transactions.	Has the agency officer delegated approval authority for specific categories of sole source transactions. What categories have been delegated? Who has been delegated this authority? Is the delegation still valid?
Training	The agency should establish a training program for new and current purchasing staff, which may include in-house, state, and public training opportunities. The agency may also consider participation or membership in procurement-related organizations such as SCAN, NCMA, NAPM, and CAPPO. The training program shall include policies for training personnel in purchasing law and procedures, controlling and reviewing purchasing practices, auditing purchasing activities, and delegating purchasing authority within the agency.	Does the agency have a required training program for new and current purchasing staff? Does the agency maintain purchasing staff training records? Are any staff members of a purchasing-related organization or certified as a purchasing professional? Does the program include policies for training personnel in purchasing law and procedures, controlling and reviewing purchasing practices, auditing purchasing activities, and delegating purchasing authority within the agency.

COMPLIANCE CRITERIA  
General

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Agency Officer	PCC 10333									B.1		<i>In Development</i>	
Delegation Contact										B.2		<i>In Development</i>	
DVBE Participation	PCC 10115		1896.62				3.4.5	8.10, 8.12		H.2		<i>In Development</i>	
File Structure and Access							3.6.1			L, M		<i>In Development</i>	
Policies & Procedures	PCC 10333						2.1			C.1		<i>In Development</i>	
Prompt Payment	GC 927			99-11	00-16	8474.2	3.7.9	7.20, 8.22		C.2	30	<i>In Development</i>	
Reporting	PCC 10115.5, 10310, 10333, 12162, GC 927.9		1896.8				3.4.3, 3.4.5, 3.4.6, 3.7.9	7.15		J		<i>In Development</i>	
Separation of Duties	GC 13400-13407					8080						<i>In Development</i>	
Small Business Advocate	GC 14846									B.5		<i>In Development</i>	PD 12/23/98 memo

COMPLIANCE CRITERIA  
General

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Small Business Participation	GC 14846						3.4.3	7.15		H.1		<i>In Development</i>	
Sole Source Agency Officer Delegation		W-103-94		96-16			3.4.1	5.70		G.4		<i>In Development</i>	
Training	PCC 10333					4854	1.5			C.1		<i>In Development</i>	

Subject	Criteria	Review Points
Americans with Disabilities Act	Supplier must state compliance with the Americans with Disabilities Act.	Does the transaction contain the required language or include or incorporate by reference the State's General Provisions?
Approvals	The department must obtain any other approvals (i.e. Fleet, OSP, RESD, PIA, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Every purchase of supplies or equipment in excess of \$100 shall be made by or under DGS supervision.	Is the purchase \$100 or less?
Bids - Optional	While a department may acquire goods valued at \$5,000 and below without competition and without extensive file documentation, competition is always the preferred method of acquisition. Consequently, obtaining bids is recommended, when appropriate, for purchases \$5,000 and below.	Does the file documentation reflect that the department considered obtaining bids?
Drug-Free Certification	Suppliers must certify they provide a drug-free work environment. A certification may be valid for up to 36 months.	Is a valid drug-free certification... included in the file documentation? or on file and referenced in the file documentation? or included by attaching the State's General Provisions? or included by referencing the General Provisions on PD's website?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all purchase transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Forced, Convict, and Indentured Labor	Suppliers must guarantee that no foreign-made equipment, materials or supplies furnished to the State were produced in whole or in part by forced, convict or indentured labor.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
National Labor Relations Board Certification	Suppliers must certify compliance with National Labor Relations Board requirements.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?
Small Business Preference	A small business preference of 5% must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Split Orders	A department may not split orders to circumvent DGS procurement authority.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Transaction Forms	All transactions must be prepared on either a Sub-Purchase Order (Std. 40A) form or on a Contract/Delegation Purchase Order (Std. 65) form or a substitute version approved in writing by PD.	Was the transaction prepared on either a Std. 40A or on a Std. 65? If a substitute version was used, was approval obtained from PD?
Year 2000 Compliance	Departments may not purchase new systems, hardware, software or equipment that is not Year 2000 compliant or fails to contain Year 2000 contract language.	Does the order contain the required language or include or incorporate by reference the State's General Provisions? If alternate language is used, was it approved by DOIT and DGS?

COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
<= \$100.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Americans with Disabilities Act	42 USC 12101, et seq.			96-29			2.7	2.07	12	C.5	50	<i>In Development</i>	
Approvals						3505				C.3		<i>In Development</i>	
Authority	PCC 10308					3506	3.3.1						
Bids - Optional							3.4.1	5.95		G.2		<i>In Development</i>	
Drug-Free Certification	GC 8355			93-27				4.08, 7.55			45	<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
Forced, Convict, and Indentured Labor	PCC 6108								13		47	<i>In Development</i>	PD 9/16/97 Memo
National Labor Relations Board Certification	PCC 10296							2.07			43	<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Small Business Preference	GC 14838; PCC 12102		CCR 1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Transaction Forms						3571.1, 3571.2				F.1		<i>In Development</i>	
Year 2000 Compliance		W-163-97						2.07, 3.19	16, 19		46	<i>In Development</i>	

**COMPLIANCE CRITERIA**  
Delegated Commodity Transactions  
\$100.01 - \$5,000.00

Subject	Criteria	Review Points
Americans with Disabilities Act	Supplier must state compliance with the Americans with Disabilities Act.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
Approvals	The department must obtain any other approvals (i.e. Fleet, OSP, RESD, PIA, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Other than purchases made using leveraged procurements established by the Procurement Division, a department may make purchases only if the Procurement Division grants the department delegated purchasing authority. Non-allowable purchases include non-IT services, IT services, memberships, travel expenses, and items available on mandatory statewide contracts or from PIA.	Does the department have delegated purchasing authority? Is the purchase for... non-IT services? IT services? memberships? travel expenses? Is the item available... on a mandatory statewide contract? from PIA?
Bids - Optional	While a department may acquire goods valued at \$5,000 and below without competition and without extensive file documentation, competition is always the preferred method of acquisition. Consequently, obtaining bids is recommended, when appropriate, for purchases \$5,000 and below.	Does the file documentation reflect that the department considered obtaining bids?
Drug-Free Workplace Certification	Suppliers must certify they provide a drug-free work environment. A certification may be valid for up to 36 months.	Is a valid drug-free certification... included in the file documentation? or on file and referenced in the file documentation? or included by attaching the State's General Provisions? or included by referencing the General Provisions on PD's website?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Forced, Convict, and Indentured Labor	Suppliers must guarantee that no foreign-made equipment, materials or supplies furnished to the State were produced in whole or in part by forced, convict or indentured labor.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
General Provisions	Transactions over \$2,500 must include or incorporate by reference the most recent version of the State's General Provisions. Use of the General Provisions is recommended for transactions under these limits. If any of the provisions are revised, the file documentation must reflect approval by either the department's internal legal counsel or PD's Major Acquisitions Unit.	If the transaction is over \$2,500, did the department include or incorporate by reference the current version of the State's General Provisions? If the transaction is \$2,500 or less and the General Provisions are included or incorporated by reference, it is not necessary that the transaction include individual clauses such as the drug-free workplace, forced, convict & indentured labor, Year 2000 compliance, etc. If any of the provisions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or PD's Major Acquisition's Unit?
National Labor Relations Board Certification	Suppliers must certify compliance with National Labor Relations Board requirements.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
Order Number	The purchase document must contain the department's delegated purchasing authority number and an agency order number. If the purchase is made as the result of a small business solicitation (SBS), the purchase document must include "/SB" following the delegation number.	Is the department's delegated purchasing authority number entered in the "Delegation/Contract Number" box on the Std. 65? For SBS orders, does "/SB" follow the delegation number? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?

**COMPLIANCE CRITERIA**  
Delegated Commodity Transactions  
\$100.01 - \$5,000.00

Subject	Criteria	Review Points
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?
Small Business Preference	A small business preference of 5% must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Transaction Forms	All transactions must be prepared on a Contract/Delegation Purchase Order (Std. 65) form or a substitute version approved in writing by PD.	Was the transaction prepared on a Std. 65? If a substitute version was used, was approval obtained from PD?
Year 2000 Compliance	Departments may not purchase new systems, hardware, software or equipment that is not Year 2000 compliant or fails to contain Year 2000 contract language.	Does the order contain the required language or include or incorporate by reference the State's General Provisions? If alternate language is used, was it approved by DOIT and DGS?



COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
\$100.01 - \$5,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Americans with Disabilities Act	42 USC 12101, et seq.			96-29			2.7	2.07	12	C.5	50	<i>In Development</i>	
Approvals						3505				C.3		<i>In Development</i>	
Authority	PCC 10308, 10332, 12101					3506	3.3.1			A		<i>In Development</i>	
Bids - Optional							3.4.1	5.95		G.2		<i>In Development</i>	
Drug-Free Workplace Certification	GC 8355			93-27				4.08, 7.55			45	<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
Forced, Convict, and Indentured Labor	PCC 6108								13		47	<i>In Development</i>	PD 9/16/97 Memo
General Provisions										F.2		<i>In Development</i>	
National Labor Relations Board Certification	PCC 10296							2.07			43	<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines

COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
\$100.01 - \$5,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Small Business Preference	GC 14838; PCC 12102		CCR 1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Transaction Forms						3571.1				F.1		<i>In Development</i>	
Year 2000 Compliance		W-163-97						2.07, 3.19	16, 19		46	<i>In Development</i>	

Subject	Criteria	Review Points
Approvals	The department must obtain any other approvals (i.e. Fleet, OSP, RESD, PIA, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Other than purchases made using leveraged procurements established by the Procurement Division, a department may make purchases only if the Procurement Division grants the department delegated purchasing authority. Non-allowable purchases include non-IT services, IT services, memberships, travel expenses, and items available on mandatory statewide contracts or from PIA.	Does the department have delegated purchasing authority? Is the purchase for... non-IT services? IT services? memberships? travel expenses? Is the item available... on a mandatory statewide contract? from PIA?
Bids	Bids must be received from at least two responsive and responsible bidders. To establish a competitive range, more than two bids are desirable. "No bid" is not considered as receiving a bid.	Does the file documentation reflect that bids were received from at least two responsive and responsible bidders? Were more than two bids obtained? If only two bids were received, is either a "no bid"?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
General Provisions	Transactions over \$2,500 must include or incorporate by reference the most recent version of the General Provisions. If any of the provisions are revised, the file documentation must reflect approval by either the department's internal legal counsel or PD's Major Acquisitions Unit.	Did the department include or incorporate by reference the current version of the general provisions? If any of the provisions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or PD's Major Acquisition's Unit?
Order Number	The purchase document must contain the appropriate contract/ delegation number and an agency order number. If the purchase is made as the result of a small business solicitation (SBS), the purchase document must include "/SB" following the delegation number.	Is the department's delegated purchasing authority number entered in the "Delegation/Contract Number" box on the Std. 65 ? For SBS orders, does "/SB" follow the delegation number? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?
Small Business Preference	A small business preference of 5% must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Small Business Solicitation	Agencies may award contracts greater than \$5,000 but less than \$100,000 to certified small businesses if price quotations have been obtained from at least 2 responsible and responsive certified small business suppliers.	Was the award within the statutory monetary limitations? Were at least 2 bids obtained from certified small businesses? Are the small business certification numbers for both/all suppliers included in the file documentation? An award cannot be made under these provisions if a quote is received from a non-certified small business or from a non-small business.
Sole Source Approval	All sole source transactions must be approved by the department's highest ranking official unless otherwise delegated in writing.	Was the transaction approved by the department's highest ranking official? If not, does the file documentation contain evidence of delegated approval authority from the "official" to the approver?

**COMPLIANCE CRITERIA**  
Delegated Commodity Transactions  
\$5,000.01 - \$25,000.00

Subject	Criteria	Review Points
Sole Source Documentation	Sole source transactions must be properly documented through use of the standard justification form or comparable documentation. The purchase of a proprietary item must be identified in the file documentation as "proprietary" and the proprietary nature of the item must be documented.	Does the file documentation include the standard justification form or comparable documentation? If the purchase is for a proprietary item, does the file documentation include the statement "proprietary" and a description of the proprietary nature of the item?
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Transaction Forms	All transactions must be prepared on a Contract/Delegation Purchase Order (Std. 65) form or a substitute version approved in writing by PD.	Was the transaction prepared on a Std. 65? If a substitute version was used, was approval obtained from PD?

COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
\$5,000.01 - \$25,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Approvals						3505				C.3		<i>In Development</i>	
Authority	PCC 10308, 10332, 12101					3506	3.3.1			A		<i>In Development</i>	
Bids				98-16			3.4.1	5.08		G.1		<i>In Development</i>	12/23/98 PD Memo
File Documentation							3.6.1			L		<i>In Development</i>	
General Provisions										F.2		<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Small Business Preference	GC 14838; PCC 12102		CCR 1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Small Business Solicitation	GC 14838.5									H.2		<i>In Development</i>	
Sole Source Approval		W-103-94		96-16						G.4		<i>In Development</i>	

**COMPLIANCE CRITERIA**  
Delegated Commodity Transactions  
\$5,000.01 - \$25,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Sole Source Documentation		W-103-94		96-16		3571.1, 5209	3.4.1			G.4		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Transaction Forms						3571.1				F.1		<i>In Development</i>	

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Approvals	The department must obtain any other approvals (i.e. Fleet, OSP, RESD, PIA, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Other than purchases made using leveraged procurements established by the Procurement Division, a department may make purchases only if the Procurement Division grants the department delegated purchasing authority. Non-allowable purchases include non-IT services, IT goods and services, memberships, travel expenses, and items available on mandatory statewide contracts or from PIA.	Does the department have delegated purchasing authority? Is the purchase for... non-IT services? IT goods or services? memberships? travel expenses? Is the item available... on a mandatory statewide contract? from PIA?
Enterprise Zone Act	EZA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the bidder requested the preference, was it applied? Was it applied correctly?
File Documentation	Purchase transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all purchase transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
General Provisions	Transactions over \$2,500 must include or incorporate by reference the most recent version of the general provisions. If any of the provisions are revised, the file documentation must reflect approval by either the department's internal legal counsel or PD's Major Acquisitions Unit.	Did the department include or incorporate by reference the current version of the general provisions? If any of the provisions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or PD's Major Acquisition's Unit?
Local Agency Military Base Recovery Act	LAMBRA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the bidder requested the preference, was it applied? Was it applied correctly?
Order Limits	Individual transactions may not exceed the department's delegated purchasing authority.	Is the order within the limits of the department's delegated purchasing authority?
Order Number	The purchase document must contain the appropriate contract/ delegation number and an agency order number. If the purchase is made as the result of a small business solicitation (SBS), the purchase document must include "/SB" following the delegation number.	Is the department's delegated purchasing authority number entered in the "Delegation/Contract Number" box on the Std. 65? For SBS orders, does "/SB" follow the delegation number? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?
Small Business Preference	A small business preference of 5% (up to \$50,000) must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Small Business Solicitation	Agencies may award contracts greater than \$5,000 but less than \$100,000 for commodities to certified small businesses if price quotations have been obtained from at least 2 responsible and responsive certified small business suppliers.	Was the award within the statutory monetary limitations? Were at least 2 alternate quotes obtained from certified small businesses? Are the small business certification numbers for both/all suppliers included in the file documentation? An award cannot be made under these provisions if a quote is received from a non-certified small business or from a non-small business.
Sole Source Approval	All sole source transactions must be approved by the department's highest ranking official unless otherwise delegated in writing.	Was the transaction approved by the department's highest ranking official? If not, does the file documentation contain evidence of delegated approval authority from the "official" to the approver?

**COMPLIANCE CRITERIA**  
Delegated Commodity Transactions  
≥ \$25,000.01

Subject	Criteria	Review Points
Sole Source Documentation	Sole source transactions must be properly documented through use of the standard justification form or comparable documentation. The purchase of a proprietary item must be identified in the file documentation as "proprietary" and the proprietary nature of the item must be documented.	Does the file documentation include the standard justification form or comparable documentation? If the purchase is for a proprietary item, does the file documentation include the statement "proprietary" and a description of the proprietary nature of the item?
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Target Area Contract Preference Act	TACPA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the preference was requested by the bidder, was it applied? Was it applied correctly?
Transaction Forms	All transactions must be prepared on a Contract/Delegation Purchase Order (Std. 65) form or a substitute version approved in writing by PD.	Was the transaction prepared on a Std. 65? If a substitute version was used, was approval obtained from PD?



COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
≥ \$25,000.01

Subject	Statute	Executive Order	CCR	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Approvals						3505				C.3		<i>In Development</i>	
Authority	PCC 10308, 10332					3506	3.3.1			A		<i>In Development</i>	
Enterprise Zone Act	GC 7084		1896.100				3.4.4	8.30				<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
General Provisions										F.2		<i>In Development</i>	
Local Agency Military Base Recovery Act	GC 7118						3.4.4	8.30				<i>In Development</i>	
Order Limits	PCC 10302									E.1		<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Small Business Preference	GC 14838		1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Small Business Solicitation	GC 14838.5									H.2		<i>In Development</i>	
Sole Source Approval		W-103-94		96-16						G.4		<i>In Development</i>	

COMPLIANCE CRITERIA  
Delegated Commodity Transactions  
≥ \$25,000.01

Subject	Statute	Executive Order	CCR	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Sole Source Documentation		W-103-94		96-16		3571.1, 5209	3.4.1			G.4		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Target Area Contract Preference Act	GC 4533		1896.31				3.4.4	8.30				<i>In Development</i>	
Transaction Forms						3571.10				F.1		<i>In Development</i>	

Subject	Criteria	Review Points
Americans with Disabilities Act	Supplier must state compliance with the Americans with Disabilities Act.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
Approvals	The department must obtain any other approvals (i.e. Telecom, RESD, DOIT, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Other than purchases made using leveraged procurements established by the Procurement Division, a department may make purchases only if the Procurement Division grants the department delegated purchasing authority. Non-allowable purchases include non-IT goods and services, memberships, and travel expenses.	Does the department have delegated purchasing authority? Is the purchase for... non-IT goods or services? memberships? travel expenses?
Bidder's Instructions	Solicitations over \$2,500.00 should include the most recent version of the State's Bidder's Instructions. The department may add any additional bidder instructions required for special needs of an individual solicitation. Deletion or alteration of any instructions should not occur without first consulting with PD.	Did the department include or incorporate by reference the current version of the State's Bidder's Instructions? If any of the provisions were deleted or altered, the file documentation should reflect prior consultation with the Procurement Division.
Bids - Optional	While a department may acquire IT goods and services valued at \$5,000 and below without competition and without extensive file documentation, competition is always the preferred method of acquisition. Consequently, obtaining bids is recommended, when appropriate, for purchases \$5,000 and below.	Does the file documentation reflect that the department considered obtaining bids?
Drug-Free Certification	Suppliers must certify they provide a drug-free work environment. A certification may be valid for up to 36 months.	Is a valid drug-free certification... included in the file documentation? on file and referenced in the file documentation? included by attaching the State's General Provisions? included by referencing the General Provisions on PD's website?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Forced, Convict, and Indentured Labor	Suppliers must guarantee that no foreign-made equipment, materials or supplies furnished to the State were produced in whole or in part by forced, convict or indentured labor.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
General Provisions	Transactions over \$2,500 must include or incorporate by reference the most recent version of the State's General Provisions. Use of the General Provisions is recommended for transactions under these limits. If any of the provisions are revised, the file documentation must reflect approval by either the department's internal legal counsel or PD's Major Acquisitions Unit.	If the transaction is over \$2,500, did the department include or incorporate by reference the current version of the State's General Provisions? If the transaction is \$2,500 or less and the General Provisions are included or incorporated by reference, it is not necessary that the transaction include individual clauses such as the drug-free workplace, forced, convict & indentured labor, Year 2000 compliance, etc. If any of the provisions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or PD's Major Acquisition's Unit?
National Labor Relations Board Certification	Suppliers must certify compliance with National Labor Relations Board requirements.	Does the order contain the required language or include or incorporate by reference the State's General Provisions?
Order Number	The purchase document must contain the delegation number and an agency order number. If the purchase is made as the result of a small business solicitation (SBS), the purchase document must include "/SB" following the delegation number.	Does the transaction contain the delegation number in the "Contract/Delegation Number" box on the Std. 65 or, for services, in a conspicuous location on the Std. 2? For SBS orders, does "/SB" follow the delegation number? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?

Subject	Criteria	Review Points
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?
Small Business Preference	A small business preference of 5% must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Special Provisions Modules	Transactions over \$2,500 should include any special provisions modules (i.e. personal services, software, etc.) applicable to the transaction.	Did the department include or incorporate by reference the current version of the State's Special Provisions Modules, as applicable? If any of the modules were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Terms and Conditions	Transactions over \$2,500 should include the State's Information Technology General Terms and Conditions.	Did the department include or incorporate by reference the current version of the State's Information Technology General Terms and Conditions? If any of the terms and conditions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.
Transaction Forms	All transactions must be prepared on a Contract/Delegation Purchase Order (Std. 65) form or a substitute version approved in writing by PD. Service contracts may be prepared using the Standard Agreement (Std. 2) form.	Was the transaction prepared on a Std. 65? If a substitute version was used, was approval obtained from PD? If for services, was the transaction prepared on either a Std. 65 or a Std. 2?
Year 2000 Compliance	Departments may not purchase new systems, hardware, software or equipment that is not Year 2000 compliant or fails to contain Year 2000 contract language.	Does the order contain the required language or include or incorporate by reference the State's General Provisions? If alternate language is used, was it approved by DOIT and DGS?

COMPLIANCE CRITERIA  
Delegated Information Technology Transactions  
≤ \$5,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Americans with Disabilities Act	42 USC 12101, et seq.			96-29			2.7	2.07	12	C.5	50	<i>In Development</i>	
Approvals										C.3		<i>In Development</i>	
Authority	PCC 12101						3.3.1			A		<i>In Development</i>	
Bidder's Instructions										F.4		<i>In Development</i>	
Bids - Optional							3.4.1	5.95		G.2		<i>In Development</i>	
Drug-Free Certification	GC 8355			93-27				4.08, 7.55			45	<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
Forced, Convict, and Indentured Labor	PCC 6108								13		47	<i>In Development</i>	PD 9/16/97 Memo
General Provisions										F.3		<i>In Development</i>	
National Labor Relations Board Certification	PCC 10296							2.07			43	<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines

COMPLIANCE CRITERIA  
Delegated Information Technology Transactions  
≤ \$5,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Small Business Preference	GC 14838; PCC 12102		1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Special Provisions Modules										F.3		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Terms and Conditions										F.3		<i>In Development</i>	
Transaction Forms										F.1, F.2		<i>In Development</i>	
Year 2000 Compliance		W-163-97						2.07, 3.19	16, 19		46	<i>In Development</i>	

Subject	Criteria	Review Points
Approvals	The department must obtain any other approvals (i.e. Telecom, RESD, DOIT, DOF) as may be required by the nature of the transaction.	Does the file documentation reflect the required approval? Was the approval obtained prior to the transaction term?
Authority	Other than purchases made using leveraged procurements established by the Procurement Division, a department may make purchases only if the Procurement Division grants the department delegated purchasing authority. Non-allowable purchases include non-IT goods and services, memberships, and travel expenses.	Does the department have delegated purchasing authority? Is the purchase for... non-IT goods or services? memberships? travel expenses?
Bidder's Instructions	Solicitations should include the most recent version of the State's Bidder's Instructions. The department may add any additional bidder instructions required for special needs of an individual solicitation. Deletion or alteration of any instructions should not occur without first consulting with PD.	Did the department include or incorporate by reference the current version of the State's Bidder's Instructions? If any of the provisions were deleted or altered, the file documentation should reflect prior consultation with the Procurement Division.
Bids	Transactions of \$5,000.01 to \$15,000 must solicit at least 3 suppliers; there is no requirement on the minimum number of bids. For transactions over \$15,000, departments must solicit a minimum of seven suppliers. Bids must be received from at least two responsive and responsible bidders. To establish a competitive range, more than two bids are desirable. "No bid" is not considered as receiving a bid.	If the transaction is \$5,000.01 to \$15,000, does the file documentation reflect that at least 3 suppliers were solicited (no minimum number of bids is required to be received)? If the transaction is over \$15,000, does the file documentation reflect that at least seven suppliers were solicited? Does the file documentation reflect that bids were received from at least two responsive and responsible bidders? Were more than two bids obtained? If only two bids were received, is either a "no bid"?
Enterprise Zone Act	EZA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the bidder requested the preference, was it applied? Was it applied correctly?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
General Provisions	Transactions must include or incorporate by reference the most recent version of the State's General Provisions. If any of the provisions are revised, the file documentation must reflect approval by either the department's internal legal counsel or PD's Major Acquisitions Unit.	Did the department include or incorporate by reference the current version of the general provisions? If any of the provisions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or PD's Major Acquisition's Unit?
Local Agency Military Base Recovery Act	LAMBRA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the bidder requested the preference, was it applied? Was it applied correctly?
Order Limits	Individual transactions may not exceed the department's delegated purchasing authority.	Is the order within the limits of the department's delegated purchasing authority?
Order Number	The purchase document must contain the delegation number and an agency order number. If the purchase is made as the result of a small business solicitation (SBS), the purchase document must include "/SB" following the delegation number.	Does the transaction contain the delegation number in the "Contract/Delegation Number" box on the Std. 65 or, for services, in a conspicuous location on the Std. 2? For SBS orders, does "/SB" follow the delegation number? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments should consider purchasing from small business, whenever practicable.	Does the file documentation reflect that small businesses were considered?

Subject	Criteria	Review Points
Small Business Preference	A small business preference of 5% must be applied to bids submitted by certified small businesses.	Was the preference applied? Was it applied correctly? Was the award made to the correct supplier? Does the file documentation include OSBCR verification (cert. #)?
Small Business Solicitation	Agencies may award contracts greater than \$5,000 but less than \$100,000 to certified small businesses if price quotations have been obtained from at least 2 responsible and responsive certified small business suppliers and the award is made to a certified small business supplier.	Was the award within the statutory monetary limitations? Were at least 2 alternate quotes obtained from certified small businesses? Are the small business certification numbers for both/all suppliers included in the file documentation? An award cannot be made under these provisions if a quote is received from a non-certified small business or from a non-small business.
Sole Source Approval	All sole source transactions, except for proprietary software, must be approved by PD. Proprietary software transactions must be approved by the department's highest ranking official unless otherwise delegated in writing.	If the transaction is not for proprietary software, does the file documentation reflect PD approval? If the transaction is for proprietary software, was the transaction approved by the department's highest ranking official? If not, does the file documentation contain evidence of delegated approval authority from the "official" to the approver?
Sole Source Documentation	Except for proprietary software, all sole source transaction file documentation must reflect PD approval. Proprietary software must be identified as such in the file documentation and the proprietary nature of the item must be documented.	If not for proprietary software, does the file documentation reflect PD approval? If for proprietary software, does the file documentation include the statement "proprietary" and a description of the proprietary nature of the item?
Special Provisions Modules	Transactions should include any special provisions modules (i.e. personal services, software, etc.) applicable to the transaction.	Did the department include or incorporate by reference the current version of the State's Special Provisions Modules, as applicable? If any of the modules were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining bids or the department's delegated purchasing authority?
Statement of Work	A department must include a statement of work for all services orders, and for commodity orders when appropriate.	Is a statement of work included in the file documentation?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Target Area Contract Preference Act	TACPA language and request forms must be included in solicitations over \$100,000. PD recommends inclusion in solicitations over \$85,000.	Was the language included in the solicitation? If the bidder requested the preference, was it applied? Was it applied correctly?
Terms and Conditions	Transactions should include the State's Information Technology General Terms and Conditions.	Did the department include or incorporate by reference the current version of the State's Information Technology General Terms and Conditions? If any of the terms and conditions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.



COMPLIANCE CRITERIA  
Delegated Information Technology Transactions  
\$5,000.01 - \$500,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Approvals										C.3		<i>In Development</i>	
Authority	PCC 12101						3.3.1			A		<i>In Development</i>	
Bidder's Instructions										F.4		<i>In Development</i>	
Bids				98-16			3.4.1	5.08		G.1		<i>In Development</i>	12/23/98 PD Memo
Enterprise Zone Act	GC 7084		1896.100				3.4.4	8.30		H.4		<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
General Provisions										F.3		<i>In Development</i>	
Local Agency Military Base Recovery Act	GC 7118						3.4.4	8.30		H.5		<i>In Development</i>	
Order Limits	PCC 12101									E.1		<i>In Development</i>	
Order Number										F.1, F.2		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14836, 14845, 14846					3571	2.3, 3.4.3	7.15	4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18

**COMPLIANCE CRITERIA**  
Delegated Information Technology Transactions  
\$5,000.01 - \$500,000.00

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Small Business Preference	GC 14838; PCC 12102		1896.2				3.4.3	8.21		H.1		<i>In Development</i>	
Small Business Solicitation	GC 14838.5									H.2		<i>In Development</i>	
Sole Source Approval		W-103-94		96-16						G.4		<i>In Development</i>	
Sole Source Documentation		W-103-94		96-16		3571.1, 5209	3.4.1			G.4		<i>In Development</i>	
Special Provisions Modules										F.3		<i>In Development</i>	
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Statement of Work							3.3.4			F.3		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Target Area Contract Preference Act										H.3		<i>In Development</i>	
Terms and Conditions										F.3		<i>In Development</i>	

COMPLIANCE CRITERIA  
CMAS Program  
Commodity Transactions

Subject	Criteria	Review Points
Authority	In exercising delegated purchasing authority, departments may place purchase orders with suppliers who have GSA multiple award schedules.	Does the GSA MAS supplier have a CMAS contract? If not, does the transaction meet all California contract requirements?
Best Value	When bids are not required, it is recommended that the department document how it determined that the State received best value.	Did the department document the best value qualities of the purchase?
Bundled Pricing	Agencies should ensure that CMAS purchase orders include product and service line item descriptions and prices and not a bundled configuration with a total price.	Does the CMAS purchase order contain bundled pricing, rather than individual product and service line item descriptions?
Contract Documentation	The department must maintain the complete applicable CMAS contract for orders placed against CMAS contracts. A complete CMAS contract includes cover pages, State terms and conditions, federal GSA terms and conditions, products & services price list, and State general provisions.	Does the order include, or incorporate by reference, the contract documentation. If included by reference, is a copy accessible to the end user?
File Documentation	Purchase transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all purchase transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Multiple Contracts	Agencies may include multiple contracts from the same supplier on a single Std. 65, within specific guidelines.	Are all contracts for the same CMAS supplier? Is the order to one supplier location? Is the word "CMAS" in the space reserved for the contract number? Did the purchasing agency use one bill code? Did the purchasing agency identify and group together the contract number with line items and subtotal per contract number? Is the total of all line items less than the CMAS order limit? Are commodity and information technology contracts not combined on one order?
Order Limits	Individual purchase orders must adhere to the CMAS program order limits. If the order exceeds program limits, the department must obtain exemption approval from PD.	Is the order within CMAS program limits for commodity purchases (\$100,000)? If the order exceeds program limits, does the file documentation include an exemption approval from PD?
Order Number	The purchase document must contain the appropriate contract number and an agency order number.	Does the transaction contain the appropriate number in the "Delegation/Contract Number" box on the Std. 65? If the transaction is from multiple contracts, are all contract numbers listed with "CMAS" in the number box?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments are required, whenever practicable, to first consider offers from small businesses that have established multiple award schedules.	Does the file documentation reflect that small businesses were considered?
Split Orders	A department may not split orders to circumvent program limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding program limits?
Statement of Work	A department must include a statement of work for all services orders, and for commodity orders when appropriate.	Is a statement of work included in the file documentation?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?

COMPLIANCE CRITERIA  
CMAS Program  
Commodity Transactions

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority	PCC 10290.1, 10308, 10332						3.1.4, 3.3.1					<i>In Development</i>	
Best Value									24			<i>In Development</i>	
Bundled Pricing									23			<i>In Development</i>	
Contract Documentation							3.6.1					<i>In Development</i>	www.dgs.ca.gov/pd
File Documentation							3.6.1			L		<i>In Development</i>	
Multiple Contracts									12			<i>In Development</i>	
Order Limits	PCC 10290.1								5, 9, 12, 13, 23, 26			<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	CMAS Agency Info Packet
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14845, 14846								4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Statement of Work							3.3.4			F.3		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	

COMPLIANCE CRITERIA  
CMAS Program  
Information Technology Transactions

Subject	Criteria	Review Points
Authority	In exercising delegated purchasing authority, departments may place purchase orders with suppliers who have GSA multiple award schedules.	Does the GSA MAS supplier have a CMAS contract? If not, does the transaction meet all California contract requirements?
Best Value	When bids are not required, it is recommended that the department document how it determined that the State received best value.	Did the department document the best value qualities of the purchase?
Bundled Pricing	Agencies should ensure that CMAS purchase orders include product and service line item descriptions and prices and not a bundled configuration with a total price.	Does the CMAS purchase order contain bundled pricing, rather than individual product and service line item descriptions?
Certificate of Compliance	A signed certificate of compliance is required for all information technology procurements that cost \$10,000 or more and are in support of a development effort. A certificate of compliance is not required for maintenance services only or for services to conduct a feasibility study or prepare an FSR.	If the purchase is for \$10,000 or more and in support of a development effort, but not for maintenance only or to conduct a feasibility study or prepare an FSR, is a certificate of compliance included in the file documentation?
Contract Documentation	The department must maintain the complete applicable CMAS contract for orders placed against CMAS contracts. A complete CMAS contract includes cover pages, State terms and conditions, federal GSA terms and conditions, products & services price list, and State general provisions.	Does the order include, or incorporate by reference, the contract documentation. If included by reference, is a copy accessible to the end user?
File Documentation	Purchase transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all purchase transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Multiple Contracts	Agencies may include multiple contracts from the same supplier on a single Std. 65, within specific guidelines.	Are all contracts for the same CMAS supplier? Is the order to one supplier location? Is the word "CMAS" in the space reserved for the contract number? Did the purchasing agency use one bill code? Did the purchasing agency identify and group together the contract number with line items and subtotal per contract number? Is the total of all line items less than the CMAS order limit? Are commodity and information technology contracts not combined on one order?
Order Limits	Individual purchase orders must adhere to the CMAS program order limits. If the order exceeds program limits, the department must obtain exemption approval from PD.	Is the order within CMAS program limits for IT purchases (\$500,000)? If the order exceeds program limits, does the file documentation include an exemption approval from PD?
Order Number	The purchase document must contain the appropriate contract number and an agency order number.	Does the transaction contain the appropriate number in the "Delegation/Contract Number" box on the Std. 65? If the transaction is from multiple contracts, are all contract numbers listed with "CMAS" in the number box?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Small Business Consideration	Departments are required, whenever practicable, to first consider offers from small businesses that have established multiple award schedules.	Does the file documentation reflect that small businesses were considered?
Special Provisions Modules	Transactions must include any special provisions modules (i.e. personal services, software, etc.) applicable to the transaction.	Did the department include or incorporate by reference the current version of the State's Special Provisions Modules, as applicable? If any of the modules were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.

Subject	Criteria	Review Points
Split Orders	A department may not split orders to circumvent the competitive bidding process or the department's delegated purchasing authority limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding either the levels for obtaining alternate quotes or the department's delegated purchasing authority?
Statement of Work	A department must include a statement of work for all services orders, and for commodity orders when appropriate.	Is a statement of work included in the file documentation?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?
Terms and Conditions	Transactions must include the State's Information Technology General Terms and Conditions.	Did the department include or incorporate by reference the current version of the State's Information Technology General Terms and Conditions? If any of the terms and conditions were revised, does the file documentation reflect prior approval by the department's internal legal counsel or, in the absence of staff counsel, PD's Major Acquisition's Unit.

COMPLIANCE CRITERIA  
CMAS Program  
Information Technology Transactions

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority	PCC 12101, 12101.5			98-17			3.1.4, 3.3.1					<i>In Development</i>	
Best Value									24			<i>In Development</i>	
Bundled Pricing									23			<i>In Development</i>	
Certificate of Compliance						4819.41, 4832, 5200.7						<i>In Development</i>	
Contract Documentation							3.6.1					<i>In Development</i>	www.dgs.ca.gov/pd
File Documentation							3.6.1			L		<i>In Development</i>	
Multiple Contracts									12			<i>In Development</i>	
Order Limits	PCC 12101.5			98-17					5, 9, 12, 13, 23			<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Small Business Consideration	GC 14845, 14846								4, 20	H.1, H.2		<i>In Development</i>	CMAS Agency Info Packet, p 18
Special Provisions Modules										F.3		<i>In Development</i>	

COMPLIANCE CRITERIA  
CMAS Program  
Information Technology Transactions

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Statement of Work							3.3.4			F.3		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	
Terms and Conditions										F.3		<i>In Development</i>	



**COMPLIANCE CRITERIA**  
Master Agreement Program

Subject	Criteria	Review Points
Authority	The state may utilize master service agreements for EDP personal services, master agreements for equipment, and master equipment services agreements.	Has the department placed the order with a supplier who has a master agreement?
Best Value	When bids are not required, it is recommended that the department document how it determined that the State received best value.	Did the department document the best value qualities of the purchase?
Contract Documentation	The department must have the complete master agreement on file.	Does the order include, or incorporate by reference, the relevant master agreement. If included by reference, is a copy accessible to the end user?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Order Limits	Transactions must adhere to program order limits.	Is the transaction within program order limits?
Order Number	The purchase document must contain the appropriate master agreement number and an agency order number.	Does the transaction contain the master agreement number in the "Contract/Delegation Number" box on the Std. 65 or, for services, in a conspicuous location on the Std. 2? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Split Orders	A department may not split orders to circumvent program order limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding program limits?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?

**COMPLIANCE CRITERIA**  
Master Agreement Program

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority	PCC 12101, 12101.5						3.1.1	3.04				<i>In Development</i>	
Best Value							3.1.1		24			<i>In Development</i>	
Contract Documentation							3.6.1					<i>In Development</i>	
File Documentation							3.6.1			L		<i>In Development</i>	
Order Limits				98-17			3.1.1	3.04				<i>In Development</i>	www.dgs.ca.gov/pd
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	

**COMPLIANCE CRITERIA**  
Statewide Contracts Program

Subject	Criteria	Review Points
Authority	Any state agency that receives delegated purchasing authority shall be authorized to make purchases of any commodities available under an unexpired statewide or regional commodities contract.	Has the department placed the order with a supplier who has an unexpired statewide or regional commodities contract?
Contract Documentation	The department must have the complete statewide contract.	Does the order include, or incorporate by reference, the relevant statewide contract. If included by reference, is a copy accessible to the end user?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Order Number	The purchase document must contain the statewide contract number and an agency order number.	Does the transaction contain the statewide contract number in the "Contract/Delegation Number" box on the Std. 65? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?

**COMPLIANCE CRITERIA**  
Statewide Contracts Program

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority	PCC 10332						3.1.2					<i>In Development</i>	
Contract Documentation							3.6.1					<i>In Development</i>	
File Documentation							3.6.1					<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Stock Received Report						8422.20						<i>In Development</i>	

**COMPLIANCE CRITERIA**  
State Price Schedule Program

Subject	Criteria	Review Points
Authority	Any state agency that receives delegated purchasing authority shall be authorized to make purchases of materials, supplies, and equipment designated in price schedules that DGS has established with suppliers.	Has the department placed the order with a supplier who has a state price schedule?
Contract Documentation	The department must have the complete state price schedule on file.	Does the order include, or incorporate by reference, the relevant state price schedule? If included by reference, is a copy accessible to the end user?
File Documentation	Transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Order Limits	Individual purchase orders must adhere to state price schedule order limits.	Is the order is within state price schedule limits?
Order Number	The purchase document must contain the appropriate state price schedule number and an agency order number.	Does the transaction contain the appropriate state price schedule number in the "Delegation/Contract Number" box on the Std. 65? Is the agency order number a unique identifier for this transaction?
Payee Data Record (Std. 204)	Agencies must obtain a Std. 204 from the supplier on each procurement transaction.	Is there a Std. 204 included or referenced in the file documentation or on file for this supplier?
Recycled Content Certification	Suppliers must certify the percentage of recycled content for products sold to the State in the 11 designated categories.	If the purchased product falls within the 11 designated categories, does the transaction documentation include a recycled content certification or has the appropriate percentage been entered in the General Provisions?
Split Orders	A department may not split orders to circumvent state price schedule order limits.	Is there evidence that the same item has been purchased within a short period of time with the combination of orders exceeding program limits?
Stock Received Report	The receipt of goods must be properly documented.	Does the file documentation include the State's standard Stock Received Report (Std. 106) or other acceptable alternative documentation?

**COMPLIANCE CRITERIA**  
State Price Schedule Program

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority	PCC 10332						3.1.3			E.8		<i>In Development</i>	
Contract Documentation							3.6.1					<i>In Development</i>	
File Documentation							3.6.1					<i>In Development</i>	
Order Limits	PCC 10332						3.1.3					<i>In Development</i>	
Order Number										F.1		<i>In Development</i>	
Payee Data Record (Std. 204)	R&T 18646					8422.19		7.25				<i>In Development</i>	
Recycled Content Certification	PCC 10308.5, 10354			99-01, 99-09			3.4.6	7.70		H.4	48	<i>In Development</i>	SABRC Guidelines
Split Orders	PCC 10329					3572		5.03		E.2		<i>In Development</i>	
Stock Received Report						8422.20						<i>In Development</i>	

## COMPLIANCE CRITERIA

### CAL-Card Program

Subject	Criteria	Review Points
Authority	A department may make purchases only as allowed under the CAL-Card Program. Non-allowable purchases include travel expenses, personal items, telephone services, and cash advances.	Is the purchase for travel expenses? Personal items? Telephone services? Cash advance?
File Documentation	Purchase transaction files shall provide an orderly record of decisions made and actions taken throughout the purchase process in a manner that makes the transaction easily understood by a reader who is unfamiliar with it and makes documentation easy to locate.	Is all purchase transaction-related information and documentation included in the file or its location referenced? Is the information and documentation easy to locate?
Order Limits	Individual purchase orders and total monthly purchases must adhere to program order limits. Limits may be increased upon request.	Is the order within the cardholder transaction and monthly limits? If not, is there evidence of an increase in authority in the file documentation?
Purchase Approval	Cardholder statements may be signed only by the cardholder. Only the approving official assigned to the cardholder may approve cardholder transactions.	Is the cardholder statement signed by the cardholder? Is the cardholder statement approved by the approving official assigned to the cardholder?
Receipt	The cardholder must obtain an itemized receipt showing all charges with a brief description of each item purchased.	Does the file documentation include a supplier receipt? Does the file documentation include a receipt that details the item, quantity, and price of the transaction? If a receipt is not included, does the file documentation include a statement signed by the cardholder detailing the purchase and acknowledging that the cardholder made the purchase? Does the transaction receipt amount match the amount on the cardholder statement?
Split Orders	A department may not split orders to circumvent cardholder daily or monthly purchase limits.	Is there evidence that the purchase was split or delayed to circumvent cardholder daily or monthly purchase limits?

**COMPLIANCE CRITERIA**  
CAL-Card Program

Subject	Statute	Executive Order	Regulation	Mgmt. Memo	Budget Letter	SAM	CAM	SCM	CMAS Bulletin	Proposed Delegation Program Guidelines	General Provisions (3/27/00)	Compliance Tips	Other
Authority							3.1.5					<i>In Development</i>	CAL-Card Cardholder Guide
File Documentation							3.6.1					<i>In Development</i>	CAL-Card Cardholder Guide
Order Limits							3.1.5					<i>In Development</i>	CAL-Card Cardholder Guide
Purchase Approval							3.1.5					<i>In Development</i>	CAL-Card Cardholder & Approving Official Guides
Receipt							3.1.5					<i>In Development</i>	CAL-Card Cardholder Guide
Split Orders							3.1.5					<i>In Development</i>	CAL-Card Cardholder Guide